



THE UNIVERSITY
OF AUCKLAND

SCHOOL OF
GRADUATE STUDIES

Guide to Theses and Dissertations



Guide to Theses and Dissertations

This document is a general guide to the presentation and submission of theses and dissertations and contains additional information about related policies and procedures. Your department may also have their own guidelines and requirements so you must consult your supervisor from the outset.

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1 Introduction

A thesis or dissertation is the written report of a research study undertaken in fulfilment or partial fulfilment of a graduate degree such as a doctorate, masters degree, bachelors (honours) degree, or a postgraduate diploma. It is an undertaking that allows you to explore areas or problems in detail, and develop and utilise your thinking and analytical skills. Your thesis or dissertation should demonstrate a capacity for independent thinking, contribute to existing scholarship and must meet international standards for such scholarly research.

Before embarking on your research, you should consult the current University of Auckland Calendar regulations applicable for your degree, the Academic Statutes and Regulations (which include the General Regulations – Masters Degrees, the General Regulations for Named Doctorates, and the Examination Regulations), as well as the Doctor of Philosophy and Higher Degrees regulations. These are available on The University of Auckland website www.auckland.ac.nz.

Masters students should refer to the *Masters Handbook*.

Doctoral students should refer to the *Statute and Guidelines for the Degree of Doctor of Philosophy (PhD)* and the *Doctoral Handbook*, both of which are available from the Graduate Centre. If you are undertaking a named doctorate, please refer to *The University of Auckland Calendar*.

All research students should consult the *Student Charter*. This document represents a philosophical understanding between the University and its students, and is aimed at preventing problems before they occur. It provides information about student rights and responsibilities, and clarifies the responsibilities of the University. It is available on The University of Auckland website www.auckland.ac.nz or the Auckland University Students' Association's website www.ausa.auckland.ac.nz.

2 Where can I get help?

If you require assistance with the presentation and submission of your thesis or dissertation, your supervisors and department/faculty are your principal sources of support. However several other service divisions at the University are also able to assist you. Sources of support are outlined below.

2.1 Your Supervisor

The responsibility for the submission of your thesis is yours (Senate Guidelines on Supervision); however, the decision as to when it is ready is crucial, and you should seek and heed guidance from your supervisor. The final stage of the thesis is demanding and you are likely to need supervisory support and expertise as you prepare to submit. Decisions are ultimately yours, but you should make good use of the supervisory structure and other supports as you enter the final stages before submission. Policies related to thesis supervision are available from the Graduate Centre or The University of Auckland website.

2.2 Departmental Graduate Adviser

The Departmental Graduate Adviser is another expert who may be able to give you advice about departmental or disciplinary requirements for the presentation of your thesis or dissertation. Should any difficulties arise at the completion phase that you cannot resolve with your supervisor, the Departmental Graduate Adviser is able to give advice and direction.

2.3 School of Graduate Studies

The School of Graduate Studies and postgraduate student advisers are located at the Graduate Centre. Staff can advise you on regulations, doctoral/masters administration, examination processes, thesis submission, dispute and appeals procedures, and the role of the Board of Graduate Studies.

The Graduate Centre is located in the East Wing of the ClockTower, 22 Princes St, City Campus and is open from 8.30am to 5pm each weekday. Phone 373 7599 ext 86899, email postgraduate@auckland.ac.nz, or alternatively visit the website.

2.4 The University Library

The University of Auckland Library provides advice on how to find theses (both those from The University of Auckland and other universities), as well as general information on where to get assistance in writing and submitting your thesis. A summary of this information can be found on the Library webpage, under the Theses and Dissertations link at <http://www.library.auckland.ac.nz/theses/>. More information about library services for postgraduate students can be found in both the *Doctoral Handbook* and the *Masters Handbook*. Theses must be deposited in the Library on successful completion of your examination (see section 8).

ResearchSpace@Auckland

ResearchSpace is a digital repository or archive for University of Auckland digital theses and research materials. All staff and students at the University can submit items to ResearchSpace by registering first on <http://researchspace.auckland.ac.nz/>.

2.5 Student Learning Centre

The Student Learning Centre (SLC) is part of the Centre for Academic Development (CAD) which supports professional development of staff and students. The SLC offers a comprehensive range of support services to postgraduate students, including workshops, individual consultations and on-line assistance, and contributes to the University's Doctoral Skills Programme.

Courses and workshops are offered throughout the year to assist you with most aspects of the thesis and dissertation writing process, including research and data analysis, reading and writing, self-management, computing, and public speaking. The SLC offers help with academic writing for students for whom English is not a first language. Check www.slc.auckland.ac.nz for sessions that will help with presentation and submission, including computer sessions on formatting, EndNote etc.

Details of all postgraduate workshops and on-line booking can be found at www.slc.auckland.ac.nz, or by phoning 373 7599 ext 88850. Courses specific to the doctoral programme are found on the website.

2.6 Computing Services (Information Technology Services)

IT literacy is an essential aspect of writing a thesis. The University of Auckland provides a range of IT services to assist you with your course of study. Consult Student IT Essentials on the University website for further information (<http://www.auckland.ac.nz/uoq/home/for/current-students/cs-student-it-essentials>). The Doctoral Skills Programme includes an IT overview, and there is also information in the *Doctoral Handbook* (section 3.3.3). Otherwise, you may obtain assistance from the computer support person for your department or phone the Information Commons Helpdesk on 373 7599 ext 82300/82333, email ichelpdesk@auckland.ac.nz.

EndNote

EndNote is a specialised database programme for storing and managing bibliographic references. It allows you to import references from Library catalogues or other electronic databases into EndNote libraries using filters. References in EndNote libraries can be sorted and searched, and incorporated automatically into papers for publication. EndNote is installed on the majority of University machines and can also be purchased for home use for a small charge from the IC Helpdesk (Level 2, Kate Edger Information Commons, Alfred St, City Campus). The Student Learning Centre and the Library offer EndNote workshops and related downloadable resources are available from <http://www.library.auckland.ac.nz/endnote/endnote.htm>.

3 Integrity in Research

3.1 Applying for Ethics Approvals

Guidelines can be downloaded from the University website (<http://www.auckland.ac.nz/uoq/re-ethics>). If your thesis research involves human participants or animals in any way, you must obtain ethics approval from The University of Auckland Human Participants Committee, the relevant New Zealand Health and Disability Ethics Committee, or the Animal Ethics Committees. Discuss with your supervisor the appropriate way to document your ethics approval within your thesis.

3.2 Avoiding Plagiarism

In any thesis, dissertation, report or project, unacknowledged copying or plagiarism **is not acceptable and is treated as an examination offence**. In *The University of Auckland Guidelines: Conduct of Coursework* (2007) plagiarism is defined as follows:

Plagiarism means using the work of others in preparing an assignment and presenting it as your own without explicitly acknowledging – or referencing – where it came from. Plagiarism can also mean not acknowledging the full extent of indebtedness to a source. Work can be plagiarised from many sources – including books, articles, the internet, and other students' assignments. Plagiarism can also occur unconsciously or inadvertently. Direct copying is definitely plagiarism. Paraphrasing of another work without attribution is also plagiarism. Submitting someone else's work or ideas without acknowledgement or attribution is not evidence of your own grasp of the material and cannot earn you marks.

Further information can be found at: <http://www.auckland.ac.nz/uoq/pid/uoq-home/current-students/cs-academic-information/cs-academic-honesty>. In addition, the Doctoral Skills Programme offers a session on Citing and Avoiding Plagiarism.

3.3 Third Party Copyright (copyright material other than your own)

While you are permitted under the Copyright Act 1994 to copy another person's copyright work (third party copyright) in your thesis for the purposes of examination, this is subject to certain conditions and limitations as follows:

- You must fully attribute the other person's copyright materials or you will be in breach of the original author's "moral rights" which are protected under the Copyright Act and the University's policies on plagiarism; and
- The permission does not apply if you "publish" or "communicate" your thesis on the internet or by any other means.

If your thesis is to be deposited as a digital copy into ResearchSpace it becomes a "commercial publication" under section 11 of the Copyright Act because it has been posted on the internet and made "available to the public".

Prior written permission to allow your thesis to be made publicly available must be obtained from the copyright owners where:

- (a) a “whole work” is copied – a poem, diagram, chart, graphic or image is considered to be a “whole work” and is not just a part of the publication from which it has been taken; or
- (b) a substantial part of a work has been copied – a copy of a part of a work is considered substantial if it represents the essence or an important or significant part of that work.

Note that works on the internet are likewise protected by copyright.

You do not need the permission of the copyright owner if:

1. Copyright has expired – 50 years from the death of the author (s.22).
2. Work is not protected by copyright – legislation, Parliamentary debates, Select Committee reports, judgments, reports of Royal Commissions and Government inquiries (s.27). Note: this only applies to New Zealand works, not overseas works.
3. Copying is permitted under the Act – Abstracts of scientific and technical articles (s.71); buildings and sculptures on public display (s.73); literary or artistic works relating to medicines imported by the Crown (s.76).
4. Use clearly falls under one of the fair dealing exceptions in the Act such as fair dealing for the purpose of criticism and review (s.42).
5. Author has made the work available under a licence which permits you to post the work on the internet – eg, Creative Commons licence.

Before you rely on any of these exceptions to copy a work without permission of the copyright owner, you must read a fuller explanation of permitted uses of the above which is available on the University website.

If you have been unable to obtain permission to reproduce material, you may consider placing your illustrations in a separate section of your thesis which can then be suppressed from public view or the whole text of the thesis can be suppressed. Consult with the ResearchSpace administrator for more information on these options.

If you are unsure whether you need to obtain written permission you will need to check with the University Library, or your supervisor or Head of Department may be able to assist you. A draft letter which can be used for approaching copyright holders for permission is provided below.

SAMPLE LETTER:

Dear [insert name of owner or authorising person]

I am a research student in the Department of [name] at The University of Auckland. I am writing up my research in a [thesis/dissertation] entitled [title of thesis/dissertation].

I am seeking permission to utilise the following copyright material in my [thesis/dissertation] for the purposes of examination and subsequent deposit in The University of Auckland publicly available digital repository, ResearchSpace:

- [Insert description and source of material for which permission is sought].

If you are happy to grant permission, please sign the authority at the bottom of this letter and return a copy to me. You can also add specific instructions regarding the attribution statement that I will include in my [thesis/dissertation], and any additional terms and conditions that you require.

If you wish to discuss the matter further, please contact me at [insert email address] or telephone [insert number].

Thank you for your consideration of this request.

Yours sincerely

[Name]

Permission

I, as Copyright Owner (or the person with authority to sign on behalf of the Copyright Owner) of the material described above, grant permission for [name of student] to copy the material as requested for the stated purposes, with no further action required.

Signed: Date:

Attribution statement

Please note any specific instructions you would like included in my acknowledgement of Copyright Ownership:

Terms and conditions

Please note any terms and conditions of the permission:

3.4 Third Party Editing

Many masters and doctoral candidates have their theses or dissertations reviewed by third parties, including professional editors. Such third parties must make no contribution to the intellectual content of the thesis or dissertation, or be involved in rewriting text; their role is confined to advice on changes, as specified in the *Policy on Third Party Editing & Proof-Reading of Theses & Dissertations*, see website.

At the end of each doctoral candidate's second year of registration, a copy of the policy and guidelines is sent to the candidate and to the supervisor along with the Doctoral Annual Report form. It is the candidate's duty to convey the policy and guidelines to third parties (including any professional editor) engaged in checking the final version of the thesis or dissertation. Candidates must acknowledge in their thesis or dissertation any contribution by a third party, in accordance with this policy.

4 Style and Format

The following are basic recommendations for setting up the text of your thesis. In the first instance you should consult your supervisor and your departmental guidelines. Style guides such as the Auckland University Press publication, *The preparation and style of manuscripts*, 4th edition, Auckland: AUP, 1985, may be helpful. Many of the recommendations on style and format are also relevant to dissertations and other research work; however you must consult your own departmental guidelines because these may vary.

4.1 Backing up your Work

The importance of backing up your work cannot be over-emphasised. Back up your computer files regularly, name the different versions of your documents appropriately, and keep these copies in a separate safe location. It is also a good idea to retain copies of collected data, notes, drafts and any other material that might be necessary to reconstruct your thesis in the event that something goes wrong.

4.2 Proofreading

Careful proofreading for grammar, punctuation, spelling and general consistency is essential. Do not rely on the spellchecker in your programme to pick up errors. It is also a good idea to have someone else read through your work to pick up any mistakes that you may have overlooked (see Section 3.4 on Third Party Editing). A high standard of presentation is very important, so allow plenty of time for this before you submit your work. A practical guide to punctuation is Jenny Buxton and Susan Carter, *Punc rocks: Foundation stones for precise punctuation*, Auckland: Pearson Education New Zealand, 2007.

4.3 Language

A doctoral thesis is to be presented in English unless otherwise approved by the Board of Graduate Studies at the time of registration. Candidates wishing to present and defend a thesis in Māori must, before applying to the Head of Department to be registered, obtain the permission of the Pro Vice-Chancellor (Māori). For detailed regulations governing the language of doctoral theses, refer to the *Statute and Guidelines for the Degree of Doctor of Philosophy (PhD)*, Clauses 4h(v), 8g and 4p.

Applications to submit a masters thesis, honours dissertation, or other postgraduate research work in a language other than English or Māori must be made at the initial stage of enrolment in the course, through the supervisor and Head of Department to the Board of Graduate Studies.

All applications will be considered on a case by case basis. Generally, an application will be granted only where the Board is satisfied that the field of study and topic make this essential, and that suitable examiners will be available for the examination. It is unlikely that permission would be granted merely on the grounds that a student's first language is not English.

4.4 Word Length

One of the skills of completing a thesis or dissertation is writing within the word length. This is one of the factors that examiners consider as they mark your work. Examiners are reluctant to examine theses that exceed the maximum length, and are within their rights to refuse to examine those pages that exceed the agreed word limit.

A doctoral thesis may not exceed 100,000 words or 250 pages in total, including an abstract of not more than 350 words, list of contents, appendices, but excluding bibliography and references. The approximate number of words will vary considerably across disciplines, and according to the topic and the other means of conveying thought such as charts, formulae etc. Your supervisor will be able to advise you on what would be expected normally.

The length of a 120 point masters thesis is usually around 35,000–40,000 words including an abstract of 350 words. However it is important to check with your supervisor/departmental graduate adviser for individual departmental requirements, which may vary.

Departmental guidelines on the length of dissertations also vary and it is essential that you consult your supervisor/departmental graduate adviser. As a general guide, a 30 point dissertation is around 10,000–12,000 words, and a 60 point dissertation around 15,000–20,000 words in length.

4.5 Page Size

The recommended page size is A4.

4.6 Margins

A binding margin of at least 19mm is required on the left for the spine, and at least 15mm margins on the three remaining sides. If printing double-sided, “mirror margins” must be used. All written and illustrative material, including headers, footers, footnotes and page numbers, must fall within these margins to allow for trimming during binding.

4.7 Type Face

Clear, easily readable, standard True Type fonts should be used (these fonts are used on both screen and printer). The recommended font styles are 12 point Times New Roman or 10 point Arial in black. Footnotes may be of a smaller font size.

4.8 Paragraphing and Line Spacing

Paragraph and line spacing, as well as some other specific details, are usually a department-specific requirement. First line indent or flush left aligned first line are both acceptable. Line spacing should be no less than 1½ line space and no more than double line space, with the exception of longer quotations, footnotes, material in tables/figures and the bibliography/list of references (which may be single line spaced).

4.9 Quotations

The format of quotations is usually a department-specific requirement. As a guide, in-text quotations of three lines or longer should appear as separate paragraphs, indented 10mm from the left-hand margin throughout the passage with quote-marks omitted.

4.10 Footnotes

For those who are using footnotes, Arabic numerals are used consecutively throughout a chapter, and should normally appear at the bottom of the relevant page, keyed to the same number following the word or phrase in the text to which it refers. If a footnote is too long for the relevant page, it may be continued on the following page preceding the footnotes for that page. If the number of footnotes is very large, numbers may be restarted with each chapter. The first reference to a work in a footnote should be given in full, but subsequent references may be abbreviated using “ibid.”, “op.cit.” and so on, as appropriate. This is dependent on the referencing style used and departmental requirements.

4.11 Page Order and Pagination

Page numbers should be located in a consistent position throughout the thesis (either bottom right-hand corner or centre is recommended). The recommended order of material in a thesis is as follows:

Elements of a thesis	Pagination
a Library Thesis Consent Form	<i>Not counted and not numbered</i>
b Title page	<i>Counted but not numbered</i>
c Abstract	<i>Numbered in Roman numerals</i>
d Dedication (<i>optional</i>)	
e Preface and/or acknowledgements	
f Table of contents	
g Lists of tables, figures, etc (<i>optional</i>)	
h Glossary (<i>optional</i>)	
i Main text of thesis or dissertation	<i>Numbered in Arabic numerals starting at 1</i>
j Appendices (<i>optional</i>)	
k Bibliography/List of references	
l Index (<i>optional</i>)	

4.12 Elements of a Thesis or Dissertation

Note: A separate list of publications arising from the thesis may be included in the thesis. Where a candidate chooses to insert a list of relevant publications, they should make clear the relative contribution of the student to each publication in a footnote to each publication title or to the publication list. The publications themselves may not be inserted in the thesis but may be referred to in the text and listed in the bibliography.

a Library Thesis Consent Form

This is provided to protect your rights as the author of the thesis. Consent forms can be obtained from the Library website (www.library.auckland.ac.nz, link to Theses & Dissertations), The University of Auckland website, or from the Graduate Centre. A consent form is needed also for any dissertation which is made available in the Library; if possible this should be bound in the dissertation on production.

b Title page

Your thesis title should be centred in the top third of the title page, and should describe the content of your thesis accurately and precisely. Your full name should be centred in the middle of the title page. Information regarding the degree, subject, university, and date is centred in the lower third of the page. The preferred form of wording is, "A thesis submitted in partial fulfilment of the requirements for the degree of [name of your degree] in [subject area], The University of Auckland, [year of completion]". The following is an example:

A thesis submitted in partial fulfilment of the requirements for the degree of Master of Arts in History, The University of Auckland, 2008.

Where a masters degree consists only of a thesis (and no other coursework), the word 'partial' should be omitted.

It is not usual to use the logo of the University on the title page of your thesis, as the thesis represents your own views which may not be the views of the University.

A similar format is recommended for dissertations and other research work, and in addition it is recommended that you quote the relevant course number in the information section.

c Abstract

An abstract is obligatory for a thesis and should follow the title page. The abstract should be a succinct summary (not more than 350 words) of the aim, methods, findings and conclusions of your research. Your department may have specific guidelines on writing an abstract.

d Dedication

This is optional.

e Preface and/or acknowledgments

The preface may set out briefly the scope and purpose of the study, though the wording of the abstract may make this redundant. This section may include acknowledgments. However, if it is only acknowledgments, head the section as "Acknowledgments". You should acknowledge people or institutions that have contributed to the content of your thesis. You must acknowledge third party editors if you engage them in accordance with The University of Auckland *Policy on Third Party Editing & Proof-Reading of Theses & Dissertations*.

f Table of contents

This should list chapter titles, normally in upper case, preceded by their numbers in Roman or Arabic numerals; any subheadings should be in lower case except as required for initial letters. It is recommended that no more than four levels of subheadings are included in the Table of Contents (chapter names are level 1 headings, subheadings of a chapter are level 2 headings, subheadings of subheadings are level 3, etc). Subsections of chapters may be numbered with Arabic numerals, or with letters in either upper or lower case.

If a thesis consists of more than one volume, the contents of the whole thesis should be shown in the first volume, and the contents of subsequent volumes in separate tables of contents in the relevant volumes.

g Lists of tables, figures, etc

This is optional. Lists of tables, figures, photographs, maps and illustrations should be numbered in Arabic numerals (1, 2, 3, etc). In each entry, the first letter of the first and all other significant words is capitalised.

h Glossary

This is optional. A glossary defines or explains specialised terms, symbols and abbreviations.

Any abbreviations or glossary/symbols used should be separately listed in this section, the abbreviated form starting from the left-hand margin, with the full form to its right, eg:

AJHR	<i>Appendices to the Journals of the House of Representatives</i>
ATL	Alexander Turnbull Library, Wellington
NZPD	<i>New Zealand Parliamentary Debates</i>

Any abbreviations used should conform to standards appropriate to the field or discipline of the thesis or dissertation; check with your supervisor or a librarian for the appropriate abbreviations in your discipline. Unless a particular title or name is cited repeatedly, it is preferable to use the full form rather than an abbreviation.

i Main text of thesis or dissertation

The main text must be divided into a logical scheme that is followed consistently throughout the work. Chapters with subsections are the most common form of division. Any logical system of subdivision within chapters or sections appropriate to the field or discipline may be used, but the scheme must be consistent throughout the manuscript.

j Appendices

This is an optional section for any additional material that does not fit conveniently or appropriately in the body of the text. It is a good idea to include any confidential information required for the thesis into appendices where possible. Each appendix should be labelled in sequence, either with capital letters or with numerals.

k Bibliography/List of references

It is important that citations be consistent in style, though the system chosen will depend on your subject field and departmental requirements. Information on reference styles used at The University of Auckland can be found on the Library's website (www.library.auckland.ac.nz/instruct/ref/ref.htm), including information on citing electronic sources. The programme Referen@ite, an academic referencing resource developed by Student Learning Centre, is very helpful and can be found at <http://www.cite.auckland.ac.nz/>.

Assistance with referencing and EndNote can be obtained from both the Library and the Student Learning Centre (see Section 2.6).

While a Bibliography may list unpublished material separately from published material, in some disciplines it may be a single alphabetical list. It is often used to include not only sources cited in the thesis itself, but all important/relevant works consulted during the research, and which the author thinks that readers might wish to go on to consult. If it is likely to prove more helpful, such a bibliography may be divided into sections according to the type of material; primary sources preceding secondary, monographs preceding periodical articles, works by a particular author (if the subject of the thesis) followed by works about that author, and finally, studies relating to the topic in general.

A list of references should comprise a straight list of material cited in the text, arranged alphabetically by author.

l Index

This is optional and is not normally required.

5 Binding

The following are recommendations for the binding of masters and doctoral theses. Refer to your department's own guidelines for the binding of research portfolios, dissertations and other research work.

5.1 Paper

This must be of good quality, and of a suitable texture and weight for printing. Standard 80gsm A4 printing/photocopying paper is recommended. It is essential that all the contents of your thesis (text, photographs, maps, charts, diagrams, etc) fit within an A4 frame. Larger material may be folded, or contained in folders.

5.2 Images

Illustrations and diagrams should be scanned and incorporated into the electronic version of the document before printing wherever possible. If this is not possible, illustrations and diagrams should be produced on paper of a similar size and quality to the main text. When this is also not possible, they should be mounted on a heavier grade of paper than is used for the text to avoid wrinkling.

IMPORTANT: If you are using a diagram, chart, graphic or image from another publication, please refer to Section 3.3 on Third Party Copyright.

5.3 Folded Maps or Charts

These should be folded in one direction only, concertina fashion, so that they conform to the accepted page size. The fold should be no closer than 13mm to the edge of the typed page, since all edges are cut during the binding process (it is essential to point out all folded material to the binder). Special material of this type may also be included either as appendices, or in folders contained within the volume. In such cases, candidates should consult with their supervisor and their binder.

5.4 Additional Material

The submission of CD-ROMs or other forms of media supporting your thesis may be permitted. Check with your supervisor or the Graduate Centre.

5.5 General Binding Requirements

A complete set of pages for all copies, with the pages in correct order, must be supplied to the binder. The maximum size for binding as one volume is 7cm or approximately 600 sheets.

For durability, the University Library prefers lumbecking in which the pages are bound with an adhesive, and not stapled.³ Binding margins of 19mm on the left-hand side are generally sufficient for lumbecked work, but this may vary with the thickness of the thesis and the type of binding used. If in doubt, consult your binder. The top, bottom and right side margins should be at least 15mm.

³ Lumbecking is a durable binding system used for brochures, books and other printing materials. The process is named after the bookbinder Emil Lumbeck (1886-1979).

The University requires the author's name and thesis title on the spine. It does not require a title or name on the front, although many students choose to include this. If the title needs to be abbreviated on the spine, give the binder instructions as to the exact wording required.

The University Bindery rates may be obtained from the Bindery, the Serials Unit in the General Library, or from the Bindery's website (www.library.auckland.ac.nz/about/genlib/bind.htm).

Two to three working days are usually needed to bind a thesis, if the thesis is delivered to the University Bindery. **Candidates should check in advance with their binder to ensure that adequate time is allowed, particularly if it is very close to the final submission date.**

The University Bindery is located at 82 Merton Road, adjacent to the Tamaki Campus (phone 528 7829; hours 8am to 4pm Monday to Friday). Non-urgent theses may be left with the Serials Unit in the General Library between 8.30am and 5pm, Monday to Friday. Allow 3-4 days for transport to and from the Bindery (ie, a turnaround time of 5-7 days).

5.6 Binding a Masters Thesis

All masters theses submitted for examination must be hardbound in full library buckram⁴ with your name and the thesis title on the spine. Two copies are required to be submitted to the Graduate Centre for examination (please also check whether your department requires any additional copies).

It is advisable to discuss with your binder any special requirements, particularly regarding overlays, binding material, and lettering.

5.7 Binding a Doctoral Thesis

a Initial submission

All doctoral candidates are initially required to submit three copies of their thesis for examination in temporary binding. The preferred type of temporary binding is 'limp bound' (lumbecked, flexible cover, spine covered with binding cloth), but other temporary binding, such as spiral, may be acceptable. The first page of these examination copies requires the following statement to the examiners:

This thesis is for examination purposes only and may not be consulted or referred to by any persons other than those involved in the examination process.

b Final submission

On successful completion of the examination process, candidates who first registered in a PhD programme **on or after 1 January 2007** are required to deposit two hardbound copies of the thesis (in full library buckram) and one digital copy, corrected as may be required. Students who first registered in a PhD programme **prior to 1 January 2007** are required to deposit three hardbound copies of the thesis (in full library buckram), or two hardbound copies and one digital copy of the thesis, corrected as may be required. Print copies are to be bound in accordance with Section 5.5.

⁴ Buckram is a stiff cloth used to cover and protect books.

The hardbound copies should be submitted to the Graduate Centre and the digital copy should be submitted to ResearchSpace.

5.8 Binding Dissertations, Research Portfolios, etc

Binding and presentation requirements for dissertations, research portfolios, and other research work are specified by individual departments. These works are not normally deposited in the University Library. Please consult with your supervisor or department as to the binding and presentation requirements in your discipline.

6 Digital copies and ResearchSpace

For information on how to format your digital copy see Guidelines for Formatting a Digital Thesis at <http://researchspace.auckland.ac.nz/docs/uoa-docs/guidelines.pdf> (and FAQs).

ResearchSpace is an open access digital archive or institutional repository, managed by the Library, which promotes the research outputs of The University of Auckland. PhD theses are deposited here, and the full text or, in some cases, abstract only can be searched directly at <http://researchspace.auckland.ac.nz/>. PhD theses deposited in ResearchSpace can also be accessed via a link from the record in Voyager, are indexed worldwide by search engines such as Google, and are available directly via a permanent URL.

Providing a digital copy of your thesis means that you can create a fully searchable and potentially media rich digital document. Your research receives international exposure which may be beneficial for your future career.

7 Submission

It is highly desirable that your supervisor has seen the final copy of your thesis/dissertation prior to submission and agrees that you are ready to submit your work³. Remember to allow sufficient time for your supervisor to review the thesis/dissertation before your planned submission date.

7.1 Masters Thesis or Research Portfolio

a Deadlines for submission of a masters thesis or research portfolio

Please refer to *The University of Auckland Calendar* for information regarding applicable submission dates.

b Submitting a masters thesis

Two hardbound copies (see Sections 5.5 and 5.6) of your thesis should be submitted by the due date to the Graduate Centre, Building 119, ClockTower – East Wing, 22 Princes Street, City Campus. No appointment is necessary and the Graduate Centre is open between the hours of 8.30am and 5pm, Monday to Friday.

You must have a **signed** Library Thesis Consent Form bound into each copy of your hardbound thesis. The form can be obtained from <http://researchspace.auckland.ac.nz/docs/uoa-docs/thesisconsent.pdf> or the Graduate Centre. The thesis is then sent to the department for examination.

On successful completion of the examination your supervisor is responsible, through the Head of Department, for the deposit of the two copies of your masters thesis with the University Library.

c Submitting a research portfolio or dissertation

These should be submitted directly to the relevant departmental office for examination. Binding and presentation requirements for research portfolios are specified by individual departments. Research portfolios are not normally deposited in the University Library.

7.2 Doctor of Philosophy, Doctor of Education and Doctor of Pharmacy

This is a brief outline of important information that PhD, EdD and DPharm candidates need to consider before submitting their thesis for examination. Specific regulation requirements for submission of a PhD thesis are set out in Clause 8 of the *Statute and Guidelines for the Degree of Doctor of Philosophy (PhD)*. EdD and DPharm candidates follow the same procedures as PhD candidates for submission and examination.

a Make an appointment

You should consult with your supervisors about the most suitable time to submit your thesis and notify the Graduate Centre three months in advance. You will then need to make an appointment with a student adviser at the Graduate Centre to come in and submit your thesis. Make the appointment a few days prior to your actual submission date. Submission takes around twenty minutes, during which time procedural checks are completed and you'll be advised about the examination process.

³ Doctoral candidates submitting their theses for examination within 48 months from their date of first registration *must* have the endorsement/approval of their supervisor in order to be eligible for a Doctoral Completion Award.

b Copies for examination

You are initially required to submit three hard copies of your thesis in temporary binding to the Graduate Centre. You may wish to consider providing your supervisor with a further copy of your thesis.

c Statutory declaration as to originality

You must complete a Statutory Declaration form, witnessed by a Justice of the Peace, stating that this is your own work. This form is available from The University of Auckland website, or from the Graduate Centre, and must be submitted with your thesis.

You will normally be permitted to submit additional material, such as a CD-ROM or DVD, provided that you acknowledge such material in the Statutory Declaration and that the declaration form is endorsed by your supervisor and Head of Department.

Where your thesis contains jointly authored research papers, case studies or any other work published or unpublished, the Statutory Declaration should state the extent to which the jointly authored material is your own work. To satisfy copyright laws, you must supply evidence that all co-authors have approved the inclusion of joint work.

d Hardbound copies

On advice from the Graduate Centre of the successful completion of your oral examination, you must deposit either three hardbound copies of your thesis with the Graduate Centre, or two hardbound copies with the Graduate Centre and a digital copy to ResearchSpace before a conferment of degree form will be issued (see Section 5.7b). See <http://researchspace.auckland.ac.nz/> for instructions on the digital submission.

Note that EdD and DPharm candidates must deposit three hardbound copies with the Graduate Centre.

The final copies do not require the statement to the examiners to be included in them.

Make sure you have a **signed** Library Thesis Consent Form bound into each copy of your hardbound thesis. This form can be obtained from <http://researchspace.auckland.ac.nz/docs/uoa-docs/thesisconsent.pdf>, or from the Graduate Centre.

The Graduate Centre sends the third copy of your doctoral thesis to your Head of Department. You may wish to consider providing your supervisor with a final copy of your thesis.

e Submission of digital copy

Students will need to submit their digital thesis to ResearchSpace (the University's digital archive) themselves. Digital theses should be converted to pdf if possible, before loading onto ResearchSpace. If you are using Latex or other formats which do not convert well to pdf, please check with the ResearchSpace administrator. You can upload files directly to ResearchSpace or manually submit files. See instructions for both methods at <http://researchspace.auckland.ac.nz/docs/uoa-docs/submission.pdf>. The Library Thesis Consent Form is included in the online submission process. Note that ResearchSpace

is an Open Access repository and that **generally material will be freely available to other researchers**. If you are intending to publish your thesis as a book or article in a scholarly journal and have concerns about your material being accessible before publication, you may want to consider access on ResearchSpace, or requesting an embargo on your thesis. Options for restricted access can be arranged with the ResearchSpace administrator. See 8.2c for information about embargoes.

When two hardbound copies and a digital copy are submitted, these must be accompanied by a Statutory Declaration form, witnessed by a Justice of the Peace, stating that the hardbound copies and the digital copy are the same. This form is available from The University of Auckland website, or from the Graduate Centre, and must be submitted with your thesis.

7.3 Doctor of Clinical Psychology

The thesis requirements for the DClInPsy are the same as those for the Doctor of Philosophy with the following exception. Three copies of the Portfolio of Clinical Research are submitted for examination, as separate items, with the three copies of the thesis in temporary binding. For further information, candidates are advised to consult *The University of Auckland Calendar* regulations, their supervisor, the Psychology graduate adviser or the Graduate Centre, email postgraduate@auckland.ac.nz, or telephone 373 7599 ext 86899.

7.4 Doctor of Fine Arts, Doctor of Music and Doctor of Musical Arts

DocFA, DMus and DMA candidates have special submission requirements. Candidates are advised to consult the *The University of Auckland Calendar* regulations for the particular degree for which they are being examined. Further information can be obtained from your supervisor, departmental graduate adviser or the Graduate Centre, email postgraduate@auckland.ac.nz, or telephone 373 7599 ext 86899.

7.5 Doctor of Medicine

The MD was an unsupervised research degree by thesis until 1 January 2009. New MD regulations pertain for all enrolments from that date on as the degree is now supervised. The degree is based on research work, which may be undertaken within or outside the University. Candidates should adhere to the submission procedures outlined for EdD and PhD candidates. Candidates are advised to consult *The University of Auckland Calendar* regulations on the Doctor of Medicine. For further information please email the Graduate Centre at postgraduate@auckland.ac.nz, or telephone 373 7599 ext 86899.

7.6 Higher Degrees

The University offers doctorates in Literature (LittD), Science (DSc), Law (LLD), and Engineering (DEng). As at other universities, these are primarily designed for graduates of the University who have subsequently published original work that has, over a period of time, given them authoritative international standing in their field. Higher degrees are awarded rarely and only after rigorous examination of a substantial and significant body of material. Candidates are advised to consult *The University of Auckland Calendar* regulations of the particular degree for which they are applying to be examined. For further information please email the Graduate Centre at postgraduate@auckland.ac.nz, or telephone 373 7599 ext 86899.

8 Library Matters

8.1 Deposit of Theses in the Library

On successful completion of the examination of your thesis two copies will be deposited in the University Library (by the relevant department for masters students, and by the Graduate Centre for doctoral candidates). The first hardbound copy remains in the Library for reference purposes; the second copy (if hardbound) may be borrowed by members of the Library, or may be sent to other libraries on inter-library loan. If the second copy is digital, then this will be freely accessible online unless you have requested restrictions on access.

8.2 Author's Rights

a Reproduction

As the author of your thesis you have a right to impose conditions restricting the reproduction of your work using the Library Thesis Consent Form. Unless you specify otherwise, the University Librarian has the right to make and supply copies in terms of Section 56 of the Copyright Act 1994.

b Copyright

In general, matters of copyright are governed by the provisions of the Copyright Act 1994. Copyright of your thesis normally belongs to you, as the author, though in some circumstances this may be varied. Refer to:

- *Intellectual Property Including Inventions and Patents, The University of Auckland Calendar*
- *Research Policy Manual*, available on the Research website:
<http://www.auckland.ac.nz/uoa/home/about/research/re-research-policy-manual>

Third Party Copyright: If you have received permission to use third party copyright material (ie, copyright material other than your own) you will need to have included copies of permissions when you submit your digital copy (see <http://researchspace.auckland.ac.nz>).

c Restrictions on access (embargoes)

A thesis will normally be available for public consultation unless there are compelling reasons for restricting access to it. A period of embargo may apply to theses that contain material that is confidential or sensitive, but will normally be limited to a maximum of 2 years. Applications for embargoes are to be made through the Head of Department and Associate Dean (Postgraduate) to the Dean of Graduate Studies using the *Thesis Embargo Form* on the Current Students website under Academic Information. For more information, refer to *The University of Auckland Calendar*. Neither digital nor hard copies will be accessible during the period of the embargo.

8.3 Failed Works

Where a thesis or dissertation has failed the examination, that thesis or dissertation is not deposited in the University Library. Note also that where a thesis or dissertation has passed, but all requirements for the degree have not been met, the thesis or dissertation is not deposited in the University Library.

9 Selected Bibliography

The titles listed below are held in the University Library; specific locations and call numbers are available on Voyager, the Library catalogue.

GENERAL

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10 Useful Websites

The University of Auckland	www.auckland.ac.nz
School of Graduate Studies	www.auckland.ac.nz (link to Current Students) Information for new and returning students wishing to pursue a postgraduate programme. Policies, guidelines and forms used by students and staff are also found on this website, as well as contact details for School of Graduate Studies staff located at the Graduate Centre.
Doctoral Skills Programme	http://cad.auckland.ac.nz/index.php?p=doctoral Courses can be booked at: http://www.library.auckland.ac.nz/booking/doctoral/index.asp
IT Services and Resources	http://www.auckland.ac.nz/uoa/home/for/current-students/cs-student-it-essentials This site provides information and access to the range of student information technology services and support at the University.
Student Learning Centre	www.slc.auckland.ac.nz This interactive on-line centre provides downloadable resources, workshop listings and registration, tips, useful links and more.
Library	www.library.auckland.ac.nz The Library homepage (LEARN) provides access to the University Library's electronic resources including Voyager, the catalogue, and information about services.
Information Commons	www.information-commons.auckland.ac.nz The Information Commons homepage provides information on the Commons and student IT resources and services.
Referen©ite	www.cite.auckland.ac.nz The programme Referen©ite is an academic referencing resource developed by Student Learning Centre.
Reference Styles	www.library.auckland.ac.nz/instruct/ref/ref.htm An extremely useful page on the Library website about references styles used at the University, with lots of guidelines and useful links.
ResearchSpace	http://researchspace.auckland.ac.nz Home page for ResearchSpace, the digital repository or archive for University of Auckland digital theses and research materials.
The University Bindery	www.library.auckland.ac.nz/about/genlib/bind.htm Contact details, bindery services, prices and more.

Thesis Submission Checklist for Students

- Have you advised the Graduate Centre 3 months in advance that you will be submitting your doctoral thesis?
- Have you provided a final draft for your supervisor's feedback?
- Have you received your supervisor's feedback?
- Have you included an abstract of not more than 350 words?
- Is the word length of your thesis within the allowable limit?
- Have you proofread your thesis carefully for spelling and typographical errors (and ideally had someone else proofread it for you)?
- Have you checked that the presentation of your thesis meets departmental or University style and format guidelines? (*See Section 4*)
- Is your referencing system appropriate for your discipline? (*See Section 4.12k*)
- Are the page numbers in sequence? (*See Section 4.11*)
- Have you backed up the final version of your thesis?
- Have you left at least three working days for binding (or up to 7 days allowing for transport to and from the Bindery)? (*See Section 5.5*)
- Is there a signed Library Thesis Consent Form included with the copies for binding (masters theses and doctoral final submissions)? (*See Section 4.12a*)
- Have you read through the binding requirements? (*See Section 5*)
- Is your title page set out correctly? (*See Section 4.12b*)
- Is any additional material such as maps or CDs adequately affixed to the thesis?
- Is your name and thesis title printed on the spine? (*See Section 5.5*)

Masters Thesis

- Are you submitting your thesis to the Graduate Centre by the due date? (*See Section 7.1b*)

Doctoral Thesis

- Have you arranged an appointment with a Student Adviser at the Graduate Centre to submit your thesis? (*See Section 7.2a*)
- Are you submitting three temporary bound copies of your thesis with the *Statement to the examiners* on the first page? (*See Section 5.7*)
- Have you completed a Statutory Declaration as to originality, witnessed by a JP? (*See Section 7.2c*)
- If you are submitting a digital copy, have you completed a Statutory Declaration witnessed by a JP stating that the hardbound copies and the digital copy are the same? (*See Section 7.2e*).

Checklist for Supervisors/Heads of Department

Before Submission

- Advise the student on deadlines for submission or make arrangements for an extension, if appropriate.
- Advise the student on the correct referencing/bibliography style and format conforming to University guidelines.
- Ask if the student has performed all necessary checks, including word length, before submitting the final draft for printing.

Nomination of Examiners

- Organise the nomination of examiners and assessors well in advance of the submission deadline.
- Obtain Head of Department and faculty approval.
- Ensure that the appointment of examiners and assessors meets the University guidelines. Please refer to the current *Instructions to Examiners and Assessors Handbook*, which is available from the Examinations Office, ClockTower Building. When nominating examiners for doctoral candidates, the *Statute and Guidelines for the Degree of Doctor of Philosophy (PhD)* should be consulted.

Thesis Examination

- For masters theses, ensure the grades are submitted to the Graduate Centre on an SA-512 form, via the Associate Dean (Postgraduate) of the faculty, once the thesis has been marked.

Library Deposit

- Upon completion of a masters thesis examination, the supervisor is responsible, through the Head of Department, for the deposit of two copies with the University Library.



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